

CITY OF SAN DIEGO  
ADMINISTRATIVE REGULATION

SUBJECT  CONSULTANT PERFORMANCE EVALUATION	Number 25.75	Issue 2	Page 1 of 7
	Effective Date September 1, 1991		

1. PURPOSE

- 1.1 To establish the procedures and guidelines for the performance evaluation of consultants providing Architectural and Engineering (A&E) services and other related services, as defined by A. R. 25.60, and to augment Council Policy 300-7, to assist in the selection of A&E firms.

2. POLICY

- 2.1 All A&E consultants shall have their performance evaluated by the City's assigned Project Manager.
- 2.2 The evaluations shall be kept on file for five (5) years to provide feedback to consultants about their performance, provide historical documentation on the overall status of projects, and be used as a factor when selecting an A&E firm for future projects.
- 2.3 Consultants shall be made aware, during the selection process, of the evaluation procedure. Consultants shall be afforded the opportunity to review the evaluation throughout the evaluation process. Consultants may attach comments, and/or appeal the rating.
- 2.4 Each step in the A&E evaluation process shall be documented by the initiating department and, when complete, filed with the Consultant Services Coordinator's office. The completed forms will be given only to the firm evaluated and to authorized City personnel.

3. DEFINITION

- 3.1 See Section 3.1 of A. R. 25.60 for definition of A&E consultants.

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Authorized

(Signed by Rich Snapper)

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Personnel Director

(Signed by Charles G. Abdelnour)

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City Clerk

(Signed by Jack McGrory)

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City Manager

(Signed by John W. Witt)

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City Attorney

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4. RESPONSIBILITY AND PROCEDURE

Responsibility

Action

Consultant Services  
Coordinator

- 4.1 Upon a request by a department, the Consultant Services Coordinator sends the short-listed firms' names, along with their previous Consultant Performance Evaluation(s) on file, to the requesting Project Manager.

Project Manager

- 4.2 Project Manager should also obtain information on the performance of short-listed consultants who are currently working on or have completed a project, and Consultant Performance Evaluation has been filed with the Consultant Services Coordinator. To do this, the following steps should be taken:
- Contact Financial Management's Administrative Aide II responsible for maintaining the binder containing Consultant Award Tracking forms (FM 3300's); to determine if any of the short-listed firms have been awarded contracts with the City.
  - If any short-listed firms have been awarded contracts and no Consultant Performance Evaluations have been filed, contact of City Project Manager managing the firm's project and discuss the firm's performance to date. Written documentation of the conversation should be kept by both Project Managers.
- 4.3 Prior to interviews, previously completed Consultant Performance Evaluations will be reviewed by the Project Manager. The evaluations provide documented, objective information on the firm's prior performance on City projects and should be a strong consideration when the Project Manager is considering a consultant.

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Project Manager (cont.)

- 4.4 The firm's representative is notified of the evaluation process during the interview. Past history may be discussed at the discretion of the City's Project Manager. This information should also be made available to the interview team assisting the Project Manager in the selection.
- 4.5 During the negotiation phase, the Project Manager will brief and explain the Consultant Performance Evaluation form and the procedures to the firm. After execution of the agreement, the Project Manager shall complete Items 1, 2, and 3 of the evaluation form (see Appendix B).
- 4.6 At each of the major milestones of the project (e.g., 50% design, design completion, bid opening, construction completion, job close-out), the Project Manager shall review the evaluation criteria on the evaluation form. If "poor" or "excellent" performance is noted, documentation should be prepared and attached. (Appendix C contains examples of "poor" and "excellent" performance). Supplemental documentation should be filed in project records, along with copies of the evaluation forms, for future archiving in the Clerk's office.
- 4.7 After obtaining the Deputy Director of Director's approval of the ratings, the Project Manager shall contact the firm's principal and project manager to schedule a meeting at least two (2) times during the project: at the time of submittal of bid documents, and project completion. If "poor" performance is noted during the course of the project, discussions with the firm's principal should occur frequently throughout the project (e.g., 30% design completion, 50% design completion).

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Project Manager (cont.)

- 4.8 At the completion of the project, Project Manager completes remainder of the evaluation form and submits it to the division's Deputy Director for review and concurrence.
- 4.9 If the final evaluation indicates a rating of "poor", the Project Manager shall arrange a meeting with the firm's principal to review the final evaluation. Meetings shall be held, regardless of the evaluation rating, at the Project Manager or Consultant's request. The firm's principal shall be given the opportunity to appeal the rating to the Deputy Director via written correspondence within 30 days of such meeting.
- 4.10 If an appeal is unresolved at the Deputy Director level, the Department Director shall hear both sides and make a formal, final judgment.
- 4.11 If the Project Manager assigned to the project is reassigned, he/she must complete the evaluation form to date and follow procedures, as outlined in 4.5 to 4.8. The signed evaluation form shall be attached to a second evaluation form, which shall be completed by the newly assigned Project Manager.
- 4.12 Immediately upon acceptance of the evaluation by the Deputy Director or Director, the form, including the supplemental information, shall be filed with the Consultant Services Coordinator.

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- Consultant Services Coordinator
- 4.13 Shall keep all evaluation forms on file for 5 years. The evaluations shall be distributed at the appropriate times in accordance with this regulation, as per 4.1.
- 4.14 Shall develop a Manager's Report at the end of each fiscal year identifying those A&E firms who receive an overall rating of "excellent" during the year.

5. FORM COMPLETION INSTRUCTIONS

- 5.1 Examples of completed forms are attached as Appendix C. Included in the examples are common scenarios and occurrences, and mock write-ups documenting "poor" and "excellent" performance. Those items marked with an asterisk (change orders and ratings of "poor" or "excellent") require the use of the supplemental page.
- 5.2 Section I - Item 1 "Project Data": The information listed should be consistent with information in the CIP budget book. If significant alterations are made to the project (e.g., scope of work, cost estimates), note in Section III "Supplemental Information."
- 5.3 Section I - Item 2 "Consultant Data": The information should include the consultant's assigned Project Manager. If changes occur, the outgoing Project Manager should complete an evaluation form. The evaluation form shall be attached to the new evaluation form(s). Please note in Section III, "Supplemental Information".
- 5.4 Section I - Item 3 "City Department Responsible": The information should include the City department responsible for the project, along with the City-assigned Project Manager. If changes occur, please note in Section III, "Supplemental Information".
- 5.5 Section I - Item 4-5 "Contract Data": This item separated into two areas. First is Item 4 "Design", which details specific data in the design phase of the project.
- Item 4b "Amendments": Should include the number and dollar amount of 1) City-initiated amendments, and 2) amendments initiated by the consultant, as dictated by design.
- Item 4c "Total Amendments": This dollar amount should reflect the total dollar amount of the consultant agreement project.
- Item 5 "Construction": Details specific information regarding the construction of the project. If the project does not include construction, please write in "non-applicable" throughout Items 5a - 5f.

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Item 5a “Contractor”: Should be the name and address of the general contractor for the project.

Item 5b “Superintendent”: Should be the name of the general contractor’s superintendent on the job site. If this information changes, please note in Section III, “Supplemental Information”.

Item 5c “Notice to Proceed”: Is the date the written “Notice to Proceed” was given to the general contractor.

Item 5d “Working Days”: Is the number of construction workdays as referenced in the project construction contract documents.

Item 5e “Actual Working Days”: Is the number of working days the contractor needed to complete the project.

Item 5f “Change Orders”: This item is to be completed at the end of construction. All change orders should be briefly described in Section III “Supplemental Information”.

- 5.6 Section I - Item 6 “Overall Rating”: At various points along the continuum of the contract, the Project Manager shall assess the consultant’s performance. Section II “Specific Ratings” allows the Project Manager to accurately assess the consultant’s performance. Section II must be completed prior to completing the “Overall Rating” The Project Manager should complete Section II at the document submittal dates, during the plan-check process and during the construction and close-out phases of the project. If the consultant receives a rating of “poor” at any of these points, the firm should be notified within 30 days. When ratings of “excellent” or “poor” are noted, it must be documented on Section III “Supplemental Information” (examples are attached in Appendix C). Project Managers are encouraged to note comments in Section III “Supplemental Information”, even if the evaluation was “satisfactory”.

The last line on Item 6 is for the consultant’s performance overall rating. In order for a consultant to receive an “excellent” overall rating, the firm must have at least two “excellent” ratings and no “poor” ratings. In order for a consultant to receive a “poor” rating, the firm must have at least two “poor” ratings and no “excellent” ratings.

- 5.7 Section I - Item 7 “Authorizing Signatures”: Signatures of the Project Manager and Deputy Director are required prior to forwarding the completed evaluation to the Consultant Services Coordinator. The Deputy Director or Director’s signature indicates agreement and acceptance of the evaluation.
- 5.8 Section II “Specific Ratings”: This section must be completed prior to completing Section I - Item 6 “Overall Rating”.
- 5.9 Section III “Supplemental Information”: This section is for documentation purposes Attach additional sheets as needed.

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APPENDIX A

Legal References:

Administrative Regulation 25.60 "Selection of Consultants for Work Requiring Licensed Architect and Engineering Skills"

Subject Index

Architects and Engineers  
Consultants  
Design Consultants  
Contracts

Administering Department

Engineering and Development

Forms Involved

ED-150, Consultant Performance Evaluation

**CITY OF SAN DIEGO**  
**Consultant Performance Evaluation**

**Section I**

The purpose of this form is to provide historical data to City staff when selecting consultants.

<b>1. PROJECT DATA</b>	<b>2. CONSULTANT DATA</b>
<b>1a. Project (title, location and CIP No.)</b>  <b>1b. Brief Description:</b>  <b>1c. Budgeted Cost:</b> \$ _____	<b>2a. Name and address of Consultant</b>  <b>2a. Consultant's Project Manager:</b>  <div style="text-align: right;">Phone (        ) _____</div>

**3. CITY DEPARTMENT RESPONSIBLE**

<b>3a. Department (include division)</b>  	<b>3b. Project Manager (address &amp; phone)</b>  
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**4. CONTRACT DATA (DESIGN AND CONSTRUCTION)**

<b>4. Design</b>	
<b>4a. Agreement date:</b> _____ <b>Resolution #</b> _____ <b>\$</b> _____	
<b>4b. Amendments \$</b> _____ <b>/ #</b> _____ <b>(city)</b> <b>\$</b> _____ <b>/ #</b> _____ <b>(consultant)</b>	
<b>4c. Total Agreement (4a. &amp; 4b.) \$</b> _____	

<b>4d. Type of Work</b> (design, study, etc.)	<b>4e. Key Contract Completion Dates:</b> <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th>_____ %</th> <th>_____ %</th> <th>_____ %</th> <th>_____ %</th> <th>_____ %</th> <th>100 %</th> </tr> </thead> <tbody> <tr> <td>Agreement</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Delivery</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Acceptance</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </tbody> </table>		_____ %	_____ %	_____ %	_____ %	_____ %	100 %	Agreement	_____	_____	_____	_____	_____	_____	Delivery	_____	_____	_____	_____	_____	_____	Acceptance	_____	_____	_____	_____	_____	_____
	_____ %	_____ %	_____ %	_____ %	_____ %	100 %																							
Agreement	_____	_____	_____	_____	_____	_____																							
Delivery	_____	_____	_____	_____	_____	_____																							
Acceptance	_____	_____	_____	_____	_____	_____																							

<b>5. Construction</b>	
<b>5a. Contractor</b> _____ <b>Phone (        )</b> _____ <div style="text-align: center; font-size: small;">(name and address)</div>	
<b>5b. Superintendent</b> _____	
<b>5c. Notice to Proceed</b> _____ <b>(date)</b>  <b>5d. Working Days</b> _____ <b>(number)</b>  <b>5e. Actual Working Days</b> _____ <b>(number)</b>	<b>5f. Change Orders:</b> Errors/Omissions _____ % of const. cost \$ _____ Unforeseen Conditions _____ % of const. cost \$ _____ Changed Scope _____ % of const. cost \$ _____ Changes Quantities _____ % of const. cost \$ _____ Total Construction Cost \$ _____

**6. OVERALL RATING** (Please ensure Section II is completed)

	Excellent	Satisfactory	Poor
<b>6a. Plans/specification accuracy</b> .....	_____	_____	_____
<b>Consistency with budget</b> .....	_____	_____	_____
<b>Responsiveness to City Staff</b> .....	_____	_____	_____
<b>6b. Overall Rating</b> _____			

**7. AUTHORIZING SIGNATURES**

<b>7a. Project Manager</b> _____	<b>Date</b> _____
<b>7b. Deputy Director</b> _____	<b>Date</b> _____



## Section II

## SPECIFIC RATINGS

PLANS/SPECIFICATION ACCURACY	EXCELLENT	SATISFACTORY	POOR	N/A	RESPONSIVENESS TO STAFF	EXCELLENT	SATISFACTORY	POOR	N/A
Plan/Specification clear and precise					Timely Responses				
Plans/Specs Coordination					Attitude toward Client and review bodies				
Plans/Specs properly formatted					Follows direction and chain of responsibility				
Code Requirements covered					Work product delivered on time				
Adhered to City Standard Drawings/Specs					Timeliness in notifying City of major problems				
Drawings reflect existing conditions					Resolution of field problems				
As-Built Drawings					CONSISTENCY WITH BUDGET	EXCELLENT	SATISFACTORY	POOR	N/A
Quality Design					Reasonable Agreement negotiation				
Change Orders due to design deficiencies are minimized					Adherence to fee schedule				
					Adherence to project budget				
					Value Engineering Analysis				

## Section III

## SUPPLEMENTAL INFORMATION

Please ensure to attach additional documentation as needed.

Item \_\_\_\_\_

Item \_\_\_\_\_

Item \_\_\_\_\_

Item \_\_\_\_\_

Item \_\_\_\_\_

Item \_\_\_\_\_

(\*Supporting documentation attached yes \_\_\_\_\_ no \_\_\_\_\_)

**CITY OF SAN DIEGO**  
**Consultant Performance Evaluation**

APPENDIX C

**Section**

The purpose of this form is to provide historical data to City staff when selecting consultants.

1. PROJECT DATA	2. CONSULTANT DATA
<p>1a. Project (title, location and CIP No.)  Chollas Station CIP No. 123-34  222 Second Avenue</p> <p>1b. Brief Description:  A remodeling of the existing water storage facility at Chollas Station.</p> <p>1c. Budgeted Cost: \$ <u>1,000,000</u></p>	<p>2a. Name and address of Consultant  ABD  1010 North Avenue, Suite 2  El Cajon, CA 92022</p> <p>2a. Consultant's Project Manager: Steve Ash  Phone ( 619 ) <u>233-1122</u></p>

3. CITY DEPARTMENT RESPONSIBLE	
<p>3a. Department (include division)    Engineering and Development  Design division  1010 Second Ave. #444  San Diego, CA 92101</p>	<p>3b. Project Manager (address &amp; phone)    Stacey Jones  1010 Second Avenue, Suite 444  San Diego, CA 92101</p>

4. CONTRACT DATA (DESIGN AND CONSTRUCTION)	
<p>4. Design</p> <p>4a. Agreement date: <u>02-01-91</u> Resolution # <u>n/a</u> \$ <u>100,000</u></p> <p>4b. Amendments \$ <u>5,000</u> / # <u>1</u> (city) \$ <u>15,001</u> / # <u>1</u> (consultant)</p> <p>4c. Total Agreement (4a. &amp; 4b.) \$ <u>120,001</u></p>	

<p>4d. Type of Work  (design, study, etc.)    Design/remodel</p>	<p>4e. Key Contract Completion Dates:</p> <table style="width:100%; border-collapse: collapse;"> <tr> <td></td> <td align="center"><u>30</u> %</td> <td align="center"><u>70</u> %</td> <td align="center"><u>n/a</u> %</td> <td align="center"><u>n/a</u> %</td> <td align="center"><u>n/a</u> %</td> <td align="center"><u>100</u> %</td> </tr> <tr> <td>Agreement</td> <td align="center"><u>3/15</u></td> <td align="center"><u>9/10</u></td> <td></td> <td></td> <td></td> <td align="center"><u>12/1/91</u></td> </tr> <tr> <td>Delivery</td> <td align="center"><u>3/14</u></td> <td align="center"><u>9/12</u></td> <td></td> <td></td> <td></td> <td align="center"><u>12/10</u></td> </tr> <tr> <td>Acceptance</td> <td align="center"><u>3/21</u></td> <td align="center"><u>9/20</u></td> <td></td> <td></td> <td></td> <td align="center"><u>12/28/91</u></td> </tr> </table>		<u>30</u> %	<u>70</u> %	<u>n/a</u> %	<u>n/a</u> %	<u>n/a</u> %	<u>100</u> %	Agreement	<u>3/15</u>	<u>9/10</u>				<u>12/1/91</u>	Delivery	<u>3/14</u>	<u>9/12</u>				<u>12/10</u>	Acceptance	<u>3/21</u>	<u>9/20</u>				<u>12/28/91</u>
	<u>30</u> %	<u>70</u> %	<u>n/a</u> %	<u>n/a</u> %	<u>n/a</u> %	<u>100</u> %																							
Agreement	<u>3/15</u>	<u>9/10</u>				<u>12/1/91</u>																							
Delivery	<u>3/14</u>	<u>9/12</u>				<u>12/10</u>																							
Acceptance	<u>3/21</u>	<u>9/20</u>				<u>12/28/91</u>																							

<p>Construction</p>	<p>Phone ( 619 ) <u>233-1122</u></p>
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6. OVERALL RATING (Please ensure Section II is completed)			
	Excellent	Satisfactory	Poor
6a. Plans/specification accuracy .....	<u>X</u>	<u>X</u>	
Consistency with budget .....			<u>X</u>
6b. Overall Rating <u>Satisfactory</u>			

7. AUTHORIZING SIGNATURES	
<p>7a. Project Manager <u>Stacey Jones</u></p> <p>7b. Deputy Director <u>Chris Pi</u></p>	<p>Date <u>07-01-91</u></p> <p>Date <u>07-10-91</u></p>

## Section II

## SPECIFIC RATINGS

PLANS/SPECIFICATION ACCURACY	EXCELLENT	SATISFACTORY	POOR	N/A	RESPONSIVENESS TO STAFF	EXCELLENT	SATISFACTORY	POOR	N/A
Plan/Specification clear and precise	X				Timely Responses		X		
Plans/Specs Coordination		X			Attitude toward Client and review bodies			X	
Plans/Specs properly formatted		X			Follows direction and chain of responsibility			X	
Code Requirements covered		X			Work product delivered on time		X		
Adhered to City Standard Drawings/Specs		X			Timeliness in notifying City of major problems			X	
Drawings reflect existing conditions		X			Resolution of field problems		X		
As-Built Drawings	X				CONSISTENCY WITH BUDGET	EXCELLENT	SATISFACTORY	POOR	N/A
Quality Design		X			Reasonable Agreement negotiation	X			
Change Orders due to design deficiencies are minimized	X				Adherence to fee schedule	X			
					Adherence to project budget	X			
					Value Engineering Analysis				X

## Section III

## SUPPLEMENTAL INFORMATION

Please ensure to attach additional documentation as needed.

Item <u>4b</u>	*City initiated design change-water utilities requested a Wk. Station (10x10)
<u>v</u>	(3-2-91)
Item <u>4b</u>	Consultant initiated design change - Facility must comply with a new Federal EEO law (#3454) (3-12-91)
Item <u>2</u>	Consultant's project manager is now Mr. James Who (same phone number) (4-22-91)
Item <u>6a</u>	*Consultant doesn't respond to City's request for memo re: CalTrans change
Item <u>6a</u>	Consultant reminded 3-12-91 and again on 3-21-91 to respond in accordance to to the City's chain of command
Item <u>5f</u>	Contractor initiated change order (additional grading, backfilling and compaction is needed to due unforeseen site conditions) Minimal increase to contra

\*Supporting documentation attached yes

no X